
| | |
|-----------------------------------|--|
| Auditee : | NingBo Swan Sports Appliance Manufacturing Co., Ltd. |
| Audit Date From : | 30/07/2018 |
| Audit Date To : | 31/07/2018 |
| Expiry Date of the Audit : | Please refer to the producer profile in the amfori BSCI platform |
| Auditing Company : | Intertek |
| Auditor's Name(s) : | Bruno Chen(Lead) |
| Auditing Branch (if applicable) : | Intertek North East China |



This is an extract of the on line Audit Report. The complete report is available in the amfori BSCI Platform.
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Rating Definitions



| Rating | A combination of ratings per Performance Area where: | Consequence | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---------------------------------|---|--|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| A Very Good | <ul style="list-style-type: none">• Minimum 7 Performance Areas rated A• No Performance Areas rated C, D or E These are three examples: <table><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td></tr><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td></tr><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td></tr></table> | A | A | A | A | A | A | A | A | A | A | A | A | A | A | A | A | A | A | A | A | A | A | A | B | B | B | A | A | A | A | A | A | A | B | B | B | B | B | B | The auditee has the level of maturity to maintain its improvement process without the need for a follow-up audit. |
| A | A | A | A | A | A | A | A | A | A | A | A | A | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| A | A | A | A | A | A | A | A | A | A | B | B | B | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| A | A | A | A | A | A | A | B | B | B | B | B | B | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| B Good | <ul style="list-style-type: none">• Maximum 3 Performance Areas rated C• No Performance Areas rated D or E These are three examples: <table><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td></tr><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td></tr><tr><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td></tr></table> | A | A | A | A | A | A | B | B | B | B | B | B | B | A | A | A | A | A | B | B | B | B | B | B | B | C | B | B | B | B | B | B | B | B | B | B | C | C | C | The auditee has the level of maturity to maintain its improvement process without the need for a follow-up audit. |
| A | A | A | A | A | A | B | B | B | B | B | B | B | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| A | A | A | A | A | B | B | B | B | B | B | B | C | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| B | B | B | B | B | B | B | B | B | B | C | C | C | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C Acceptable | <ul style="list-style-type: none">• Maximum 2 Performance Areas rated D• No Performance Areas rated E These are three examples: <table><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>C</td><td>C</td><td>C</td><td>C</td></tr><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td><td>D</td></tr><tr><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>D</td><td>D</td></tr></table> | A | A | A | A | A | A | A | A | A | C | C | C | C | A | A | A | A | A | B | B | B | B | C | C | C | D | C | C | C | C | C | C | C | C | C | C | C | D | D | The auditee needs follow up to support its progress. Following the completion of the audit, the auditee develops a Remediation Plan within 60 days. |
| A | A | A | A | A | A | A | A | A | C | C | C | C | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| A | A | A | A | A | B | B | B | B | C | C | C | D | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| C | C | C | C | C | C | C | C | C | C | C | D | D | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D Insufficient | <ul style="list-style-type: none">• Maximum 6 Performance Areas rated E These are three examples: <table><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>D</td><td>D</td><td>D</td></tr><tr><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td><td>D</td><td>D</td><td>D</td><td>E</td></tr><tr><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr></table> | A | A | A | A | A | A | A | A | A | A | D | D | D | A | A | A | B | B | B | C | C | C | D | D | D | E | D | D | D | D | D | D | D | D | E | E | E | E | E | The auditee needs follow up to support its progress. Following the completion of the audit, the auditee develops a Remediation Plan within 60 days. |
| A | A | A | A | A | A | A | A | A | A | D | D | D | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| A | A | A | B | B | B | C | C | C | D | D | D | E | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| D | D | D | D | D | D | D | D | E | E | E | E | E | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| E Unacceptable | <ul style="list-style-type: none">• Minimum 7 Performance Areas rated E These are three examples: <table><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr><tr><td>A</td><td>A</td><td>B</td><td>B</td><td>C</td><td>D</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr><tr><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr></table> | A | A | A | A | A | A | E | E | E | E | E | E | E | A | A | B | B | C | D | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | E | amfori BSCI Participants shall closely oversee the auditee's progress as the producer may represent a higher risk than other business partners. |
| A | A | A | A | A | A | E | E | E | E | E | E | E | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| A | A | B | B | C | D | E | E | E | E | E | E | E | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| E | E | E | E | E | E | E | E | E | E | E | E | E | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Zero Tolerance | A Zero Tolerance Issue was identified (see amfori BSCI System Manual Part V – Annex 5: amfori BSCI Zero Tolerance Protocol) | Immediate actions are required. The amfori BSCI Zero Tolerance Protocol is to be followed. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Main Auditee Information



| | | | |
|-----------------------------|--|-----------------|------------------|
| Name of producer : | NingBo Swan Sports Appliance Manufacturing Co., Ltd. | | |
| DBID number : | 364756 | | |
| Audit ID : | 130618 | | |
| Address : | Yufan Village, Jiaochuan Street, Zhenhai District, Ningbo City. Ningbo | | |
| Province : | Zhejiang | Country : | China |
| Management Representative : | Mr. Riqi Ye | | |
| Contact person: | Riqi Ye | Sector : | Non-Food |
| Industry Type : | Sports equipment and sportwear | Product group : | sports equipment |
| Product Type : | Roller skates | | |

Audit Details



| | | | |
|--|---|---|---|
| Audit Range : | <input checked="" type="checkbox"/> Full Audit | <input type="checkbox"/> Follow-up Audit | |
| Audit Scope : | <input checked="" type="checkbox"/> Main Auditee | <input type="checkbox"/> Main Auditee & Farms | |
| Audit Environment : | <input checked="" type="checkbox"/> Industrial | <input type="checkbox"/> Agricultural | <input type="checkbox"/> Small Producer |
| Audit Announcement : | <input checked="" type="checkbox"/> Fully-Announced | <input type="checkbox"/> Fully-Unannounced | <input type="checkbox"/> Semi-Announced |
| Random Unannounced Check (RUC) : | No | | |
| Audit extent (if applicable) : | none | | |
| Audit interferences or contingencies (if applicable) : | none | | |
| Overall rating : | C | | |
| Need of follow-up : | Yes | If YES, by : | 31/07/2019 |

Rating per Performance Area (PA)

| PA 1 | PA 2 | PA 3 | PA 4 | PA 5 | PA 6 | PA 7 | PA 8 | PA 9 | PA 10 | PA 11 | PA 12 | PA 13 |
|------|------|------|------|------|------|------|------|------|-------|-------|-------|-------|
| D | C | A | A | B | D | A | A | A | A | A | B | B |

Executive summary of audit report

1. In view of the facilities, the facility consists of two 4-storey buildings used as office, warehouse and production areas, no canteen or dormitory was provided by the facility.

2. The business license number is 913302117685369968 and the facility was established in January 2005.

3. The facility management showed a positive attitude to this audit during the whole process. Document requested were provided timely and locked areas encountered during the audit were unlocked timely. At the end of the audit, all the findings were accepted by the facility management.

4. All interviewed employees were satisfied with the facility and no negative information was raised. The employees do enjoy working in the facility. They are satisfied with their salary and management system. The facility gives everybody equal opportunity.

5. 12 months and 29 days (from 1 July, 2017 to 29 July, 2018) electronic attendance records were provided for review. And 12 months' (from July 2017 to June 2018) payroll records were provided for review.

6. According to the attendance records provided by the facility.

1) In June 2018 (current month), the average weekly working hours of 10 randomly selected employees were 51 hours; the maximum weekly working hours of 10 randomly selected employees were 52 hours (all 10 selected employees).

2) In January 2018 (random month), the average weekly working hours of 10 randomly selected employees were 50.5 hours; the maximum weekly working hours of 10 randomly selected employees were 52 hours (all 10 selected employees).

3) In September 2017 (random month), the average weekly working hours of 10 randomly selected employees were 51.5 hours; the maximum weekly working hours of 10 randomly selected employees were 52 hours (all 10 selected employees).

Remark:

1) The facility rent one 2-storey building to the facility named Ningbo Ruili Sports Products Co., Ltd. The lease contract was provided for review.

2) There was another facility named Ningbo Ruili Sports Products Co., Ltd. in the boundary of the audited facility. Through the document review, facility tour and employee interview, the audited facility had its own business license, HR system and financial system, no employee was exchange between the audited facility and the other facility.

Performance area 3: The facility had established the written policy allowing employees to have the right to freedom of association, the facility would respect and protect the employee right of association. Through the employee interview, the facility did not interfere with employee legal right to freedom of association or form unions, the facility allows employees to bargain collectively. But no collective bargaining had happened in the facility. No deviation was observed in this Performance Area.

Performance area 4: No Discrimination

Through document review, the facility had established a written policy concerning discrimination. For example, the policy stated that all condition of the employment would be based on the ability to do the job, not on the basis of personal characteristics, and etc.

Through employee interview and according to facility rule, same job and same pay would be provided for employees when returning from maternity leave. But no employee who was returned from maternity leave was found in the facility. Female employees said employees would resign when they were pregnant and they felt the health was the most important for them and they did not want to continue working if they were pregnant. Through employee interview, all interviewed employees stated that employees are permitted to perform religious beliefs without restriction. Through the document review, the facility has a policy of all employees have the right of the freedom to perform religious beliefs without restriction.

No deviation was observed in this Performance Area.

Performance area 8: No Child Labour

The facility had established the written policy that prohibits the hiring of underage workers in compliance with both local laws and retailers ethical sourcing standards. Through facility tour and employee interview, no underage employee was found in the facility. The facility would check all applicants' identification card for verifying their age. The facility maintained all employees' personnel files which included age identification documents, recent photos, emergency contact information, hiring date and etc and provided them for review. No underage employee was found in the facility. The youngest employee found in the facility was 20 years old. No deviation was observed in this Performance Area.

Performance area 9: Special protection for young workers

The facility had established a written policy concerning protection of juvenile employees such as no overtime work, night shift work or harmful position work would be arranged for juvenile employees. Through document review, facility tour and employee interview, no juvenile employee was used in the facility. No deviation was observed in this Performance Area.

Performance area 10: No Precarious Employment

All employees were hired by the facility directly. The facility signed labor contracts with all employees in the facility within one month to comply with the law. No apprentices and probationary workers were hired in the facility. The labor contracts were in local language (Chinese) and all employees could understand it. One copy of the signed labor contract was provided for all employees. No deviation was observed in this Performance Area.

Performance area 11: No Bonded Labor

The facility had established a written policy that prohibits any forms of forced labor, which included Debt bondage, indentured, slave labor or prison labor and etc. All employees were hired on a voluntary basis. No evidence of any forms of force labor, such as Debt bondage, indentured, slave labor or prison labor were found in the facility. The facility had established the policy to ensure that none of their sub suppliers use bonded labor, indentured, or prison labor to produce components or merchandise and also facility had communicated the policy to their suppliers and obtained acknowledgement. No deviation was observed in this Performance Area.

Ratings Summary



| Auditee's background information | | | |
|----------------------------------|---|---|------------------|
| Auditee's name : | NingBo Swan Sports Appliance Manufacturing Co., Ltd. | Legal status : | Limited Company |
| Local Name : | 宁波天鹅体育用品制造有限公司 | Year in which the auditee was founded : | 2005 |
| Address : | Yufan Village, Jiaochuan Street, Zhenhai District, Ningbo City. | Contact person (please select) : | Riqi Ye |
| Province : | Zhejiang | Contact's Email : | 516035277@qq.com |
| City : | Ningbo | Auditee's official language(s) for written communications : | Chinese |
| Region : | North East Asia | Other relevant languages for the auditee : | None |
| Country : | China | Website of auditee (if applicable) : | Not applicable |
| GPS coordinates : | N29°58'11.67?, E121°39'41.88? | Total turnover (in Euros) : | 3796843.00 |
| Sector : | Non-Food | Of which exports % : | 100.00 |
| Industry : | Sports equipment and sportwear | Of which domestic market % : | 0.00 |
| If other, please specify : | | Production volume : | 35000 |
| Product Group : | sports equipment | Production cost calculation : | No |
| If other, please specify : | | Lost time injury calculation cost : | No |
| Product Type : | Roller skates | | |

| Auditee's employment structure at the time of the audit | | |
|---|--------------|--|
| Total number of workers : | 97 | Total number of workers in the production unit to be monitored (if applicable) : 0 |
| | MALE WORKERS | FEMALE WORKERS |
| Permanent workers | 34 | 63 |
| Temporary workers | 0 | 0 |
| In management positions | 12 | 18 |
| Apprentices | 0 | 0 |
| On probation | 0 | 0 |
| With disabilities | 0 | 0 |
| Migrants (national citizens) | 27 | 54 |
| Migrants (foreign citizens) | 0 | 0 |
| Workers on the permanent payroll | 34 | 63 |
| Production based workers | 22 | 45 |
| With shifts at night | 0 | 0 |
| Unionised | 0 | 0 |
| Pregnant | - | 0 |
| On maternity leave | - | 0 |

Finding Report



Performance Area 1 : Social Management System and Cascade Effect

Full Audit [Audit Id - 130618] Audit Date: 30/07/2018 PA Score: D

Deadline date:31/12/2018

GOOD PRACTICES:

None observed

AREAS OF IMPROVEMENT:

The facility had set up some management procedures to implement the amfori BSCI Code of Conduct, but not all policies were properly implemented. One senior management was appointed to ensure that the amfori BSCI values and principles were followed in a satisfactory manner. The facility had monitored significant business partners and also had a good overview of the significant business partners and their level of alignment with the amfori BSCI COC. Based on satisfactory evidence, the facility partially respects this principle because:

企业建立了确保amfori BSCI行为准则有效实施的管理制度, 但是不是所有制度都得以有效实施;企业指定了一名高级管理人员以确保充分遵循amfori BSCI价值和原则要求;企业对主要商业伙伴进行了监督, 并对其遵守amfori BSCI行为守则的水平有一个较好的理解。基于令人满意的证据, 企业部分尊重amfori BSCI的本条原则, 原因是:

- 1.1 -** The facility had set up management procedures to implement the amfori BSCI Code of Conduct, but not all policies were properly implemented, such as, findings were raised in the following Performance areas: Workers Involvement and Protection, Fair Remuneration, Decent Working Hours, Occupational Health and Safety, Protection of the Environment, Ethical Business Behavior. It partially respects Performance area 1.1.
企业建立了确保amfori BSCI COC有效实施的管理制度, 但是不是所有制度都得以有效实施, 比如, 在如下绩效领域: 工人参与与保护、公平报酬、体面的工作时间、职业健康与安全、环境保护、道德的商业行为都存在审核发现点。这部分尊重绩效区域1.1

- 1.4 -** The facility's workforce capacity is not properly organized to meet the expectations of the delivery order and/or contracts. Through document review, auditor found that the facility's workforce capacity is not properly organized to meet the expectations of the delivery order and contracts, because the finding 'Overtime hours exceeded the legal requirement' was found in this audit. It does not respect the performance area 1.4.
企业没有合理的组织人力资源以满足订单和合同的要求。通过文件审核, 审核员发现企业没有合理的组织人力资源以满足订单和合同的要求, 因为加班时间超过法规要求的问题在本次审核中被发现。这尚未尊重绩效区域1.4

Remarks from Auditee:

Performance Area 2 : Workers Involvement and Protection

Full Audit [Audit Id - 130618] Audit Date: 30/07/2018 PA Score: C

Deadline date:31/08/2018

GOOD PRACTICES:

None observed

AREAS OF IMPROVEMENT:

There was 2 worker representatives in the facility who was elected by all employees. Last election was conducted in January 2018. The worker representative and facility management conducted meetings periodically to communicate workplace issues. The suggestion box was established in the facility, also grievance procedure was established. The training on amfori BSCI COC had been arranged for all employees in the facility. Through facility tour, amfori BSCI COC was posted in workshop. However, the facility did not define long term goals to protect workers according to the amfori BSCI Code of Conduct and no timelines were set in the mechanism to address the grievances and no process was illustrated in the mechanism in case of appeals or escalation occurred. Based on satisfactory evidence, the facility partially respects this principle because:

企业内有2名由全体员工选举的员工代表, 最近一次选举是在2018年1月进行的。员工代表与企业管理人员定期召开会议来沟通工作当中的问题。企业内设立了意见箱, 并建立了申诉制度, 企业对全厂所有员工安排了有关amfori BSCI行为准则内容的培训。通过现场走访, amfori BSCI行为准则已经张贴在了车间内。但是企业没有制定保护工人的长期目标, 并且申诉制度中没有给解决申诉问题设置时间表, 也没有描述如何应对申诉升级的事件。基于令人满意的证据, 企业部分尊重amfori BSCI的本条原则, 原因是:

- 2.2 -** The facility did not define long term goals to protect workers according to the amfori BSCI Code of Conduct. It does not respect the Performance area 2.2
企业没有按照amfori BSCI行为守则明确保护工人的长期目标 其尚未尊重绩效区域2.2

- 2.5 -** The facility had established a grievance procedure, but no timelines were set in the mechanism to address the grievances and no process was illustrated in the mechanism in case of appeals or escalation occurred. It partially respects Performance area 2.5
企业建立了文件化的申诉制度, 但是没有给解决申诉问题设置时间表, 也没有描述如何应对申诉升级的事件。其部分尊重绩效区域2.5。

Remarks from Auditee:

Performance Area 3 : The rights of Freedom of Association and Collective Bargaining

Full Audit [Audit Id - 130618] Audit Date: 30/07/2018 PA Score: A

Deadline date:

GOOD PRACTICES:

None observed

AREAS OF IMPROVEMENT:

None observed
未发现

Remarks from Auditee:

| Performance Area 4 : No Discrimination | |
|---|--------------------------|
| Full Audit [Audit Id - 130618] Audit Date: 30/07/2018 PA Score: A | Deadline date: |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: None observed 未发现 | |
| Remarks from Auditee: | |
| Performance Area 5 : Fair Remuneration | |
| Full Audit [Audit Id - 130618] Audit Date: 30/07/2018 PA Score: B | Deadline date:31/12/2018 |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: <p>Through document review and employee interview, the facility had paid at least local minimum wage to all employees. Employees were paid before 30th of each month for the wage of last month by cash. The facility had procedures in place for employees to question wages paid and obtain adjustment to their pay if necessary. They also received pay stubs with details information of working hours and wages when facility paid wages. Employees could easy get how the wages calculated. The facility had paid at least 150 percent and 200 percent of normal rate wage for overtime work on normal work days and rest days, no overtime work on statutory holidays, the facility paid all employees for overtime work according to the law. In June 2018 (current month of social insurance), there were 95 employees in the facility, all 95 employees had participated in basic endowment insurance, basic medical insurance, maternity insurance, unemployment insurance and employment injury insurance. The facility had provided paid annual leave, maternity leave, etc. benefit to relevant employees properly. In June 2018 (current month of social insurance), out of all 95 employees in the facility, ALL 95 employees had participated in basic endowment insurance, basic medical insurance, maternity insurance and unemployment insurance and employment injury insurance. Based on satisfactory evidence, the facility partially respects this principle because:</p> <p>通过员工访谈及文件审核, 企业最少支付了相当于当地最低工资标准的基本工资给所有员工。员工的工资会以现金形式在每个月的月底发放上个月的工资。企业建立了相关程序允许员工在必要的时候质疑和向企业申请调整他们的工资。员工在收到工资的同时会收到表明他们的工作时间和工资等一系列细节的工资条以使员工能清楚知道他们工资是如何计算出来的。对于正常工作日加班, 企业支付员工相当于基本工资的1.5倍的加班工资, 对于周末加班, 企业支付员工相当于基本工资2倍的加班工资, 企业没有在法定节假日安排加班, 企业支付给所有员工的加班工资都有法律依据。在2018年6月(社保当前月), 企业所有的95个员工中, 所有95名员工参加了养老保险, 医疗保险, 生育保险, 失业保险及工伤保险。基于令人满意的证据, 企业部分尊重amfori BSCI 的本条原则, 原因是:</p> <p>5.4 - Through document review and management interview, auditor found that the facility had no idea of evaluation the local living wage, and they did not complete the survey or calculating of the local living wage before the audit. It does not respect the Performance area 5.4</p> <p>通过文件审核及管理层访谈, 审核员发现企业没有意识去评估当地的最低生活需求工资, 也没有在审核前完成最低生活需求工资的调查和计算。、其尚未尊重绩效区域5.4</p> | |
| Remarks from Auditee: | |

Performance Area 6 : Decent Working Hours

Full Audit [Audit Id - 130618] Audit Date: 30/07/2018 PA Score: D

Deadline date:31/12/2018

GOOD PRACTICES:

None observed

AREAS OF IMPROVEMENT:

Electronic attendance machine was used to record attendance status, employees swiped the IC card when they were duty on or duty off. All employees worked for 1 shift, the normal working hours was 8 hours per day (from 7:30 to 17:00 with 015 hours' lunch break from 11:30 to 13:00) and 40 hours per week from Monday to Friday. And overtime would be arranged in rest days if necessary, but at least 1 day off per every 7 days was ensured. The maximum daily overtime hours was 2 hours and maximum monthly overtime hours was 54 hours. Through employees interview, the workshop manger would not prohibit the employees to have a rest, to go to toilet or to go to drink. Based on satisfactory evidence, the facility partially respects this principle because:

企业使用电子考勤系统记录员工的出勤情况, 员工在上班和下班时都需要刷IC考勤卡。企业所有员工是一班制, 正常工作时间是(早上7:30至下午17:00, 中间从11:30至13:00有半小时午休), 每周正常工作从周一至周五5天。如果需要, 企业会安排员工在周末加班, 但是会保证每7天内有一天休息。最大日加班时间是2小时, 最大月加班时间是54小时。通过员工访谈, 企业的车间主管不会干扰员工在工作期间有短暂休息, 去喝水或者上厕所。基于令人满意的证据, 被审核方部分尊重amfori BSCI 的本条原则, 原因是:

- 6.2 -** Overtime hours exceeded the legal requirement. Through document review, auditor found that: 1) In June 2018 (current month), the monthly overtime hours of all 10 employees randomly selected were 52 hours. 2) In January 2018 (random month), the monthly overtime hours of all 10 employees randomly selected were 46 hours. 3) In September 2017 (random month), the monthly overtime hours of all 10 employees randomly selected were 54 hours. It does not respect the Performance area 6.2, and does not comply with PRC Labour Law article 41 The employing unit may extend working hours due to the requirements of its production or business after consultation with the trade union and labourers, but the extended working hour for a day shall generally not exceed one hour; if such extension is called for due to special reasons, the extended hours shall not exceed three hours a day under the condition that the health of labourers is guaranteed. However, the total extension in a month shall not exceed thirty-six hours.

加班时间超过法规要求。通过文件审核, 审核员发现: 1) 在2018年6月份(随机月), 随机抽取的所有10名员工的月加班时间为52小时, 2) 在2018年1月份(随机月), 随机抽取的所有10名员工的月加班时间为46小时, 3) 在2017年9月份(随机月), 随机抽取的所有10名员工的月加班时间为54小时。其尚未尊重绩效区域6.2, 且不符合《中华人民共和国劳动法》第41条, 用人单位由于生产经营需要, 经与工会和劳动者协商后可以延长工作时间, 一般每日不得超过一小时;因特殊原因需要延长工作时间的, 在保障劳动者身体健康的条件下延长工作时间每日不得超过三小时, 但是每月不得超过三十六小时。

Remarks from Auditee:

Performance Area 7 : Occupational Health and Safety

Full Audit [Audit Id - 130618] Audit Date: 30/07/2018 PA Score: A

Deadline date:31/12/2018

GOOD PRACTICES:

None observed

AREAS OF IMPROVEMENT:

1. General Health and Safety management –Mr. Riqi Ye/ Vice General Manager is appointed as Health and Safety representative for the site. Potable water was freely available in all areas. Sufficient toilets segregated by gender were available at all times to workers. Ventilation, temperature and lighting were adequate for all production processes. EHS committee was established in the facility and regular meeting was conducted quarterly. EHS training on machine operating, PPE wearing and fire safety were provided for all employees. 2. Occupational health: The facility provided the occupational health examinations for partial employees, and conduct the occupational hazardous testing for the place where existed the occupational hazardous factors. However, the facility did not provide the occupational health examinations for employees working in the brushing glue water workshop. 3. Fire Safety - Enough fire extinguishers, fire hydrants and fire alarms was installed in every workshops and warehouse. Enough exit sign and emergency lights were installed in the whole facility. Sufficient safety exits were available for each area. All safety exits were kept clear and unlocked during working hours. Evacuation plan was posted in each area. Fire fighting drill and fire evacuation drill was arranged for all employees in the production area twice per year. 4. Machine safety – The facility used some special appliance such as cargo lifts, all the special appliance had the valid inspection reports and all operators had obtained the valid certificates. The maintenance personnel had checked all production machines regularly. All production employees had been trained how to operated machines properly before operation. 5. Electrical safety - The facility had signed one part-time agreement with one electrician and his electrician certificate was available for review. Based on satisfactory evidence, the facility partially respects this principle because: 6. Medical services - There were adequate first aid kits in each production area and all of them were well stocked. There was 2 qualified first aiders in the facility, whose training certificates were provided for review. Based on satisfactory evidence, the facility partially respects this principle because:
 1. 一般健康和安全管理——俞鉴锋/副总经理被任命为健康安全代表。饮用水是免费提供的。提供了不同性别使用的足够洗手间，工人随时可以使用。通风、温度和照明是足够的。企业成立了健康安全委员会，并每季度召开一次会议。设备安全操作、PPE佩戴和消防方面的健康安全培训也提供给了所有员工。2. 职业健康——企业提供了职业健康体检给一部分接触职业危害因素的员工，并且在这些存在职业危害因素的岗位进行了职业病危害因素监测。但是企业没有提供职业健康体检给刷胶车间的员工。3. 消防安全——所有车间和仓库均配备了足够的灭火器、消防栓和消防警铃；安全出口标识和应急灯均有安装。所有区域均有足够的逃生出口，且这些出口在工作时间均保持畅通。疏散图张贴在了所有区域。消防灭火和疏散演习在生产区域每年组织两次，所有员工均有参加。4. 机器安全——企业有一些特种设备如货梯等，所有的特种设备均有有效的检验报告，所有的维修人员定期检查所有的生产机器。所有生产员工在都参加了如何正确操作机器的培训。5. 电气安全——企业与一名电工签署了兼职协议，且提供了其电工证供审核。6. 医疗服务——在每个生产区域有足够的急救药箱且装有足够的急救药品。企业有2名有资质的急救员，且提供了其培训证明供审核。基于令人满意的证据，企业部分尊重amfori BSCI 的本条原则，原因是：
- 7.1 - No occupational health examination was provided to employees engaged in post with occupational disease hazards. During facility tour, auditor found that there were 2 employees (total 2 employees) were working in glue brushing workshop with hazardous chemicals including benzene, methylbenzene and dimethylbenzene. However, no periodic occupational health examination reports which required by law for those 2 employees were provided for review. It partially respects Performance area 7.1 and PRC Law of Prevention and Control of Occupational Diseases Article 35, the employer shall conduct regular occupational health examination for those labourers who are engaged in works with occupational hazard(s) as required by production safety supervision and administration department and public health administrative department under the State Council. The occupational health examination shall be conducted before labourers start to take the post, in the course of the work and after leave the post and the employer shall provide the results of the occupational health examinations to labourers in written. The expenses of the occupational health examination shall be borne by employers. The employer shall not arrange labourers to engage in the work with occupational hazard(s) prior to the pre-post occupational health examination, or labourers with any occupational prohibition to engage in the prohibited work from them. Once the occupational health examination indicates that employee is suffering from the occupational damage in relation to his or her occupation, the employer shall transfer such a labourer out of his or her original post, and allocate him or her in a proper way. The employer shall not rescind or terminate the labour contracts signed with those employees without the occupational health examination at time of leaving the post. The occupational health examination shall be undertaken by the Medical and Health Institutions with Practicing Licence of Medical Institution. The Health Administrative Department shall strengthen the standardization management of occupational health examination. The specific administrative measures shall be formulated by the Health Administrative Department of State Council.

企业没有为从事职业性危害作业的员工提供职业健康检查。在现场巡查时，审核员发现企业的刷胶车间有2名（共2名）员工在使用苯、甲苯、二甲苯等危险化学品。但是，企业未能提供该2名员工按法规要求的定期职业健康检查报告供审核员审阅。其部分尊重绩效区域7.1但不符合依据《中华人民共和国职业病防治法》第三十五条，对从事接触职业病危害的作业的劳动者，用人单位应当按照国务院安全生产监督管理部门、卫生行政部门的规定组织上岗前、在岗期间和离岗时的职业健康检查，并将检查结果书面告知劳动者。职业健康检查费用由用人单位承担。用人单位不得安排未经上岗前职业健康检查的劳动者从事接触职业病危害的作业；不得安排有职业禁忌的劳动者从事其所禁忌的作业；对在职业健康检查中发现有与所从事的职业相关的健康损害的劳动者，应当调离原工作岗位，并妥善安置；对未进行离岗前职业健康检查的劳动者不得解除或者终止与其订立的劳动合同。职业健康检查应当由取得《医疗机构执业许可证》的医疗卫生机构承担。卫生行政部门应当加强对职业健康检查工作的规范管理，具体管理办法由国务院卫生行政部门制定。
- 7.3 - The facility carried out risk assessments for safety, healthy and hygienic working conditions, but it was not sufficient, such as based on the risk assessments report, the report did not include the safety of warehouses, etc. It partially respected the Performance area 7.3.

企业进行了健康安全风险评估，但是不够充分。如根据风险评估报告，企业并未评估到以下风险：仓库的安全问题等等。其部分尊重绩效区域7.3。
- 7.11 - 1. Through facility tour, auditor noted partial goods in all warehouses were directly leaned against the wall and post. It does not respect Performance area 7.11 and does not comply with Article 6.8 of General Rules for Fire Safety Management of Storage Occupancies: Objects shall be piled up in the storeroom as per the following requirements: 1. The distance between the top of any pile and the roof shall not be smaller than 0.3m (for any "人"-shaped building, the distance shall be counted from the crossbeam); 2. The distance between the objects and the illumination lamps shall not be smaller than 0.5m; 3. The distance between the objects and the wall shall not be smaller than 0.5m; 4. The distance between any pile of objects and the pole shall not be smaller than 0.3m; 5. The distance between any two piles of objects shall not be smaller than 1m. 2. No report of construction completion acceptance was provided. During facility tour, auditor found that the facility added 4th floor on two one 3-storey buildings separately. However, the facility did not obtain the report of construction completion acceptance for these two buildings after they were added 4th floor. It partially respects the Performance area 7.11, and does not comply with PRC Construction Law Article 61, a construction project handed over for acceptance checks for completion must conform to the prescribed construction project quality standards, be provided with complete project technical and economic data and signed project warranty, and be provided with other qualified conditions for completion as prescribed by the state. A construction project may only be handed over for use upon passing the acceptance checks for completion; no construction project shall be handed over for use without going through the acceptance checks for completion or passing the acceptance checks for completion. 3. During facility tour, auditor found that the facility added 4th floor on two one 3-storey buildings separately. However, the facility did not obtain the certificate or report/register for fire protection acceptance for these two buildings after they were added 4th floor. It partially respects the Performance area 7.11, and does not comply with PRC Fire Prevention Law article 11, the Ministry of Public Security of the State Council prescribes, for those densely populated places and special construction works, design documents shall be submitted to public security organs for safety review. Public security fire control institutions shall be responsible for the result. Article 13, the project completed with fire control design in accordance with the requirements of the State Technical Standards on Fire Control for Engineering Construction shall go

through acceptance check and filing as stated below: 1. as is stated in Article 11, construction units shall apply to the public security fire control institutions for fire control acceptance check. 2. Other construction works and construction units shall file with public security fire control institutions and public fire control institutions shall conduct random inspection. Construction projects which are supposed to go through fire control acceptance check but do not or considered unqualified shall not be put into use. Other projects considered unqualified after acceptance check in accordance with law shall not be put into use.

1. 通过现场巡查, 审核员发现企业的所有仓库的部分货物挨墙靠柱存放。其尚未尊重绩效区域7.11且不符合《仓储场所消防安全管理通则》GA1131-2014 6.8 库房内堆放物品应满足以下要求: 1 堆垛上部与楼板、平屋顶之间的距离不小于0.3m(人字屋架从横梁算起); 2 物品与照明灯具之间的距离不小于0.5m; 3 物品与墙之间的距离不小于0.5m; 4 物品堆垛与柱之间的距离不小于0.3m; 5 物品堆垛与堆垛之间的距离不小于1m。2. 在现场观察时, 审核员发现企业在2栋3层建筑上分别加盖了第4层, 但企业没有获得这2栋建筑加盖后的竣工验收报告。其部分尊重绩效区域7.11, 且不符合《中华人民共和国建筑法》第六十一条, 交付竣工验收的建筑工程, 必须符合规定的建筑工程质量标准, 有完整的工程技术经济资料和经签署的工程保修书, 并具备国家规定的其他竣工条件。建筑工程竣工验收合格后, 方可交付使用; 未经验收或者验收不合格的, 不得交付使用。3. 在现场巡查时, 审核员发现企业在2栋3层建筑上分别加盖了第4层, 但企业没有获得这2栋建筑加盖后的消防验收合格证明或消防备案。其部分尊重绩效区域7.11, 且不符合《中华人民共和国消防法》第十一条 国务院公安部门规定的大型的人员密集场所和其他特殊建设工程, 建设单位应当将消防设计文件报送公安机关消防机构审核。公安机关消防机构依法对审核的结果负责。第十三条 按照国家工程建设消防技术标准需要进行消防设计的建设工程竣工, 依照下列规定进行消防验收、备案: (一) 本法第十一条规定的建设工程, 建设单位应当向公安机关消防机构申请消防验收; (二) 其他建设工程, 建设单位在验收后应当报公安机关消防机构备案, 公安机关消防机构应当进行抽查。依法应当进行消防验收的建设工程, 未经消防验收或者消防验收不合格的, 禁止投入使用; 其他建设工程经依法抽查不合格的, 应当停止使用。

7.13 - 1. Stacking was stored under lighting sets directly. During facility tour, auditor found that combustible material were stored under the lights directly in the raw material warehouse (located at 1F of one 4-storey building A). It partially respects Performance area 7.13 and does not comply with the Rules on Administration of Fire Safety in Warehouses, article 39, portable lights shall not be installed in warehouse. No stacking is allowed under lighting sets and the horizontal spacing between the position vertically beneath the lights and the piled goods should be no less than 0.5m. 2. Auditor noted that the 1 out of 5 switches did not have the outer cover in sewing workshop (located at 1F of one 4-storey building A). It partially respects the Performance area 7.13 and National Safety Technical Code for Electric Equipment – GB19517-2009 2.2 Preventive measure against the hazard of electric shock. Insulation protective technology, direct/indirect touching protective technology, and so on could be adopted to provide adequate protection for electric shock hazard of electric equipment, which works in normal application, caused by direct effect of electrical energy. 2.2.1 To ensure smooth operation and prevent hazard from direct effect of electric current, electric equipment must be with adequate electric insulation performance including insulation resistance, electric strength, quality of thermal endurance, moisture-proof, filthiness-proof, flame resistance, and tracking resistance, and so on.

1. 仓库内照明灯具垂直下方堆放货物。在现场巡查时, 审核员发现企业的原料仓库(位于1栋4层建筑A的1F), 其可燃物直接放于照明灯具垂直下方。其部分尊重绩效区域7.13, 且不符合《仓库防火安全管理规则》第39条, 库房内不准设置移动式照明灯具。照明灯具下方不准堆放物品, 其垂直下方与储存物品水平间距不得小于零点五米。2. 在现场巡查时, 审核员发现企业的缝纫车间(位于1幢4层建筑A的3F)5个电闸中1个电闸无外罩。其部分尊重绩效区域7.13和国家电气设备安全技术规范GB19517-2009 2.2 电击危险防护, 可以采用绝缘保护技术, 直接接触保护技术、间接接触保护技术等对电气设备按设计用途使用时由于电能直接作用而造成的危险提供足够的保护。2.2.1 为保证正常运行和防止由于电流的直接作用造成的危险, 电气设备必须有足够的绝缘电阻、介质强度、耐热能力、防潮湿、防污秽、阻燃性、抗漏电、起痕性等电气绝缘性能。

7.23 - The facility did not provide the transportation for employees
企业没有提供交通工具给员工。

Remarks from Auditee:

Performance Area 8 : No Child Labour

Full Audit [Audit Id - 130618] Audit Date: 30/07/2018 PA Score: A

Deadline date:

GOOD PRACTICES:

None observed

AREAS OF IMPROVEMENT:

None observed
未发现

Remarks from Auditee:

Performance Area 9 : Special protection for young workers

Full Audit [Audit Id - 130618] Audit Date: 30/07/2018 PA Score: A

Deadline date:

GOOD PRACTICES:

None observed

AREAS OF IMPROVEMENT:

None observed
未发现

Remarks from Auditee:

| Performance Area 10 : No Precarious Employment | |
|--|--------------------------|
| Full Audit [Audit Id - 130618] Audit Date: 30/07/2018 PA Score: A | Deadline date: |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: None observed 未发现 | |
| Remarks from Auditee: | |
| Performance Area 11 : No Bonded Labour | |
| Full Audit [Audit Id - 130618] Audit Date: 30/07/2018 PA Score: A | Deadline date:31/08/2018 |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: <p>The facility had established no forced labor procedure, and through the document review and employee interview, no forced labor issue was occurred in the facility, the overtime of all employees was voluntary. In addition, the facility also had established the written disciplinary procedure, all disciplinary actions were communicated with the employees but not recorded. Based on satisfactory evidence, the facility partially respects this principle because: 企业建立了禁止强迫劳动的程序, 通过员工访谈及文件查阅, 确认企业无强迫劳动的事件发生, 员工加班都是自愿的。另外企业也建立书面的惩戒程序, 所有的惩戒措施均与员工进行了有效的沟通, 但并没有进行记录。基于令人满意的证据, 企业部分尊重amfori BSCI的本条原则, 原因是:</p> <p>11.4 - The disciplinary actions had communicated with the relevant employees and employees had agreed, but no record was maintained by the facility. It partially respects Performance area 11.4. 企业的惩戒措施已于员工进行沟通并取得员工同意, 但并未保存记录。其部分尊重绩效区域11.4。</p> | |
| Remarks from Auditee: | |
| Performance Area 12 : Protection of the Environment | |
| Full Audit [Audit Id - 130618] Audit Date: 30/07/2018 PA Score: B | Deadline date:31/12/2018 |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: <p>The facility had established the procedure to identify environmental regulations and laws regularly, and the list of identified environmental regulations and laws was provided for review and the facility had not established the grievance mechanism related to the environmental concerns of communities around the facility. However, Hazardous wastes were not transferred to qualified unit by the facility. Based on satisfactory evidence, the facility partially respects this principle because: 企业建立了环境法律法规的定期识别机制, 并提供了识别出的环境法律法规清单供审核及建立了有关周围社区的环境问题的申诉机制。然而, 企业的危险废物没有交给有资质单位处置。基于令人满意的证据, 企业部分尊重amfori BSCI的本条原则, 原因是:</p> <p>12.4 - Hazardous wastes were not transferred to qualified unit. During facility tour, auditor found that the hazardous wastes, including waste empty containers with glue were generated from glue brushing workshop. During document review, the facility could not provide the evidences (such as contract, duplicated form for transferring hazardous waste and qualification of hazardous waste disposal unit) to prove that they had transferred the hazardous waste to the qualified unit. It does not respect the Performance area 12.4, and does not comply with the PRC Law of Prevention and Treatment of Environmental Pollution by Solid Wastes, Article 57, it is prohibition that the hazardous wastes are provided or submitted to the unit which do not obtain the business permit to engage in collection, storage, utilization and disposal of hazardous wastes. 危险废物没有交给有资质单位处置。在文件审核时, 审核员发现在现场巡查时, 审核员发现被审核方刷胶车间产生空胶水桶等危险废弃物。在文件审核中, 被审核方无法提供证据(危废处理合同、危废转移联单、危废处理单位资质等)证明危险废物是交给有资质的处理单位处理。其尚未尊重绩效区域12.4, 且不符合《中华人民共和国固体废物污染环境防治法》第57条, 禁止将危险废物提供或者委托给无经营许可证的单位从事收集、贮存、利用、处置的经营活动。</p> | |
| Remarks from Auditee: | |

Performance Area 13 : Ethical Business Behaviour

Full Audit [Audit Id - 130618] Audit Date: 30/07/2018 PA Score: B

Deadline date:30/09/2018

GOOD PRACTICES:

None observed

AREAS OF IMPROVEMENT:

The facility had established the ethical business behavior policy and the policy were communicated to employees. Some production records such as daily production records, material delivery in and out records and etc. had been reviewed and checked with the attendance records, meanwhile through employee interview, no inconsistency was found. The working hours and wages could be verified in current assessment. Based on satisfactory evidence, the facility partially respects this principle because:

企业建立了商业道德制度并对员工做了交流培训。审核员查看了部分生产记录, 比如生产日报表、仓库出入库记录等, 并将这些记录与考勤记录核对, 且通过员工访谈, 没有发现不一致的情况, 企业的工作时间和工资可以验证。基于令人满意的证据, 企业部分尊重amfori BSCI的本条原则, 原因是:

- 13.4 -** The facility had not established procedure to collect, use and otherwise process personal information with reasonable care and in accordance with privacy and information security laws and regulatory requirements. It does not respect Performance area 13.4.
企业没有建立程序以按照隐私和信息安全法和监控要求收集、使用和进行了合理谨慎的处理。其尚未尊重绩效区域13.4.

Remarks from Auditee:

Summary



| Audit Type | Date | Audit Id | PA1 | PA2 | PA3 | PA4 | PA5 | PA6 | PA7 | PA8 | PA9 | PA10 | PA11 | PA12 | PA13 | Overall Rating |
|------------|------------|----------|-----|-----|-----|-----|-----|-----|-----|-----|-----|------|------|------|------|----------------|
| Full Audit | 30/07/2018 | 130618 | D | C | A | A | B | D | A | A | A | A | A | B | B | C |

Producer Photos







Photo of fire safety equipment
Fire hydrant and fire extinguishers.jpg



Photo of the inside of the main production hall
Brushing glue water workshop.jpg



Photo of the inside of the main production hall
Sewing workshop.jpg



Photo of fire safety equipment
Tested fire alarm.jpg



Photo of the inside of the main production hall
Cargo lift.jpg



Photo of the inside of the main production hall
Traveling crane.jpg



Photo of fire safety equipment
Tested fire hydrant.jpg



Photo of the inside of the main production hall
Cutting workshop.jpg



Photo of the inside of the main production hall
Warning sign.jpg